

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Barrett, Michael R.	2. Court or Organization U.S. District Court	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Potter Stewart US Courthouse 100 East 5th Street Cincinnati, Ohio 45202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Old Walnut Company
2. Member	Grandin View LLC
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	University of Cincinnati - teaching stipend
2. 2019	Spectrum - interview stipend
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Barrett, Michael R.	05/14/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	American Express	Credit Card	J
2.	US Bank	Credit Card	J
3.			
4.			
5.			

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Old Walnut Co. (Partnership)	A	Dividend	K	U					
3. Grandin View LLC	G	Distribution	N	U					
4. Procter & Gamble (common stock) (Y)									
5. Convergys Corp. (common stock)		None			Sold	09/30/19	K		
6. J.M. Smucker (Common stock)	A	Dividend	J	T					
7. IRA#1 (H)									
8. First American Treasury (cash)	C	Interest	M	T					
9. U.S. Treasury Bill (912796SC4)	B	Interest			Buy	02/11/19	M		
10.					Matured	08/08/19	M		
11. Am. Century Equity Income (ACIIX)	A	Dividend	K	T					
12. Blackrock Basic Value Fund Inc. (MABAX)	C	Dividend	K	T					
13. Nuveen Dividend Value Fd (FAQIX)	B	Dividend	J	T					
14. T. Rowe Price Equity (PRFDX)	B	Dividend	K	T					
15. T. Rowe Price Value Fund (TRVLX)	A	Dividend	L	T					
16. Nuveen Mid Cap Growth (FISGX)	B	Dividend	J	T					
17. Nuveen Mid Cap Value (FSEIX)	B	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Barrett, Michael R., 05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and 5 sub-columns for D. Rows include various investments like T. Rowe Price Mid Cap Value, Am. Century Sm. Cap, Nuveen Small Cap Select, etc.

1 Income Gain Codes: A=\$1,000 or less, B=\$1,001 - \$2,500, C=\$2,501 - \$5,000, D=\$5,001 - \$15,000, E=\$15,001 - \$50,000
2 Value Codes: F=\$50,001 - \$100,000, G=\$100,001 - \$1,000,000, H1=\$1,000,001 - \$5,000,000, H2=More than \$5,000,000, L=\$50,001 - \$100,000, M=\$100,001 - \$250,000, P1=\$1,000,001 - \$5,000,000, P2=\$5,000,001 - \$25,000,000, P3=\$25,000,001 - \$50,000,000, P4=More than \$50,000,000
3 Value Method Codes: Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market, U=Book Value, V=Other, W=Estimated

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Barrett, Michael R., 05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows 35-51 include entries for U.S. Treasury Bill, Abbott Labs, Abbvie Inc., Capital One Financial Corp, Procter & Gamble, iShares Select Dividend ETF, T. Rowe Price Value, iShares Russell Midcap Index, Nuveen Mid Cap Value, iShares Russell 2000 Index, Fidelity Invt Trad Intl Disci, Laudus Int'l Marketmasters Fd Select, U.S Treasury Note, Tiaa Cref Bond Plus Fund Adv, Tiaa Cref Inflation Linked Bond Fund, and Nuveen Core Plus Bond.

1 Income Gain Codes: A =\$1,000 or less, B =\$1,001 - \$2,500, C =\$2,501 - \$5,000, D =\$5,001 - \$15,000, E =\$15,001 - \$50,000
(See Columns B1 and D4) F =\$50,001 - \$100,000, G =\$100,001 - \$1,000,000, H1 =\$1,000,001 - \$5,000,000, H2 =More than \$5,000,000
2 Value Codes J =\$15,000 or less, K =\$15,001 - \$50,000, L =\$50,001 - \$100,000, M =\$100,001 - \$250,000
(See Columns C1 and D3) N =\$250,001 - \$500,000, O =\$500,001 - \$1,000,000, P1 =\$1,000,001 - \$5,000,000, P2 =\$5,000,001 - \$25,000,000
P3 =\$25,000,001 - \$50,000,000, P4 =More than \$50,000,000
3 Value Method Codes Q =Appraisal, R =Cost (Real Estate Only), S =Assessment, T =Cash Market
(See Column C2) U =Book Value, V =Other, W =Estimated

Name of Person Reporting	Date of Report
Barrett, Michael R.	05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Nuveen Inflation Pro Sec (FYIPX)	A	Dividend			Sold	06/17/19	J		
53. Vanguard Reit Etf (VNQ)	A	Dividend	K	T					
54. Trust Account # 1 (H)									
55. Wilmington Trust Bank Deposit (cash)	A	Interest	K	T					
56. Harbor Large Cap Value Fund (HNLVX)	A	Dividend	L	T	Buy (add'l)	08/27/19	K		
57.					Buy (add'l)	11/05/19	J		
58. iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T	Sold (part)	02/06/19	K	A	
59.					Sold (part)	05/03/19	J	A	
60.					Sold (part)	11/05/19	J	B	
61. iShares Edge MSCI USA QLTy Factor ETF (QUAL)	A	Dividend	K	T	Buy (add'l)	02/06/19	K		
62.					Buy (add'l)	05/03/19	J		
63.					Sold (part)	08/27/19	K	B	
64. IShares Russell 1000 Growth ETF (IWF)	A	Dividend	K	T	Sold (part)	05/03/19	K	D	
65.					Sold (part)	05/14/19	J	B	
66. LSV Value Equity FD STRAT (LSVEX)	B	Dividend	K	T	Sold (part)	06/05/19	J		
67. T Rowe Price Lg Cap Grwth Fund I (TRLGX)	B	Dividend	K	T	Buy	05/03/19	K		
68. Wilmington Large Cap Strategy Fund (WMLIX)	D	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. iShares S&P Small-Cap 600 Growth ETF (IJT)	A	Dividend	K	T					
70. Meridian Sm-Cap Growth (MSGRX)	B	Dividend	K	T	Sold (part)	02/06/19	J	A	
71. Nuveen Small Cap Value Fund (FSCCX)	A	Dividend	K	T	Buy (add'l)	02/06/19	J		
72. Vanguard FTSE DEV. Market (VEA)	C	Dividend	M	T	Buy (add'l)	11/05/19	J		
73.					Buy (add'l)	12/17/19	J		
74. iShares Core MSCI Emerging Markets (IEMG)	B	Dividend	K	T	Sold (part)	11/05/19	J		
75. Fidelity Focused High Income (FHIFX)	B	Dividend	K	T					
76. Vanguard Int Trm Bond ETF (BIV)		None			Sold	01/22/19	N	C	
77. Vanguard Intermediate-Term Tax Exempt FD (VWIUX)	A	Dividend	J	T					
78. Wilmington Municipal Bond Fund (WTAIX)	E	Dividend	N	T	Buy	01/22/19	N		
79. iShares Tips Bond ETF (TIP)	A	Dividend	J	T					
80. iShares Cohen & Steers REIT ETF (ICF)	A	Dividend	J	T					
81. Spdr Dow Jones Int'l Real Estate ETF (RWX)	C	Dividend	K	T					
82. Trust Account #2 (H)									
83. Morgan Stanley Bank NA (cash)	A	Interest	K	T					
84. Morgan Stanley Private Bank NA (cash) (Y)									
85. Chevron Corp (CVX)	A	Dividend	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 9 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. Chubb LTD (CB)	A	Dividend			Sold	07/02/19	J	B	
87. Colgate Palmolive Co (CL)	A	Dividend			Buy (add'l)	02/05/19	J		
88.					Sold	05/15/19	J	A	
89. Corteva Inc (CTVA)		None			Spinoff (from line 93)	06/03/19	J		
90.					Sold	06/06/19	J		
91. Dow Inc (DOW)	A	Dividend			Spinoff (from line 93)	04/05/19	J		
92.					Sold	05/03/19	J		
93. DowDupont (DWDP) (Y)									
94. DuPont de Nemours Inc (DD)		None			Spinoff (from line 93)	06/03/19	J		
95.					Sold	07/17/19	J		
96. Intl Business Machines Corp (IBM)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
97. Johnson & Johnson (JNJ)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
98. JPMorgan Chase & Co (JPM)	A	Distribution	J	T					
99. Kraft Heinz Co (KHC)		None			Buy (add'l)	02/05/19	J		
100.					Sold	02/22/19	J		
101. Lockheed Martin Corp (LMT)	A	Dividend	J	T					
102. Lowes Companies Inc (LOW)	A	Dividend			Buy (add'l)	02/05/19	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103.					Sold	04/01/19	J	A	
104. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
105. Nextera Energy Inc (NEE)	A	Dividend	J	T	Sold (part)	07/19/19	J	A	
106. Occidental Petroleum Corp DE (OXY)	A	Dividend			Buy (add'l)	02/05/19	J		
107.					Buy (add'l)	02/22/19	J		
108.					Buy (add'l)	03/04/19	J		
109.					Sold	10/07/19	J	A	
110. Pfizer Inc (PFE)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
111.					Sold (part)	01/16/19	J		
112. Philip Morris Intl Inc (PM)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
113. Sempra Energy (SRE)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
114.					Sold (part)	06/05/19	J	B	
115. Verizon Communications (VZ)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
116. Walmart Inc (WMT)	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
117. Wells Fargo & Co New (WFC)	A	Dividend	K	T					
118. Alps Sector Dividend Dogs (SDOG)	A	Dividend	K	T	Buy	12/02/19	K		
119. First Trust Dow Jones Stoxx Eur (FDD)		None	K	T	Buy	12/02/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 11 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. First Trust Exchange Traded Fund VI (TDIV)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
121.					Buy (add'l)	05/03/19	J		
122.					Buy (add'l)	06/03/19	J		
123. First Trust Valu.LN Div Index (FVD)	C	Dividend	M	T	Buy (add'l)	01/07/19	J		
124.					Buy (add'l)	02/05/19	J		
125.					Buy (add'l)	03/04/19	J		
126.					Buy (add'l)	05/28/19	J		
127.					Buy (add'l)	06/04/19	J		
128.					Sold (part)	06/20/19	J	A	
129.					Buy (add'l)	08/05/19	K		
130.					Buy (add'l)	11/04/19	K		
131. First Trust Senior Loan Fund (FTSL)	A	Dividend			Buy	01/07/19	J		
132.					Sold	04/01/19	J	A	
133. FT Enhanced Short Maturity ETF (FTSM)	D	Dividend	L	T	Buy (add'l)	02/05/19	J		
134.					Sold (part)	05/03/19	K		
135.					Sold (part)	06/03/19	J	A	
136.					Sold (part)	07/01/19	K	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Sold (part)	07/19/19	J	A	
138.					Sold (part)	08/05/19	L	A	
139.					Sold (part)	11/04/19	K	A	
140.					Sold (part)	12/02/19	M	A	
141. FT Preferred Secur & Inc ETF (FPE)	C	Dividend	L	T	Buy	01/09/19	K		
142.					Buy (add'l)	02/05/19	J		
143.					Buy (add'l)	03/04/19	J		
144.					Buy (add'l)	04/01/19	J		
145. Goldman Sachs Access TRE 0-1 Y (GBIL)	A	Dividend	J	T					
146. Invesco S&P Financials R (RWW) (formerly Oppenheimer)	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
147. Invesco S&P Ultra Divide (RDIV) (formerly Oppenheimer)	B	Dividend	L	T	Buy	02/22/19	J		
148.					Buy (add'l)	04/01/19	J		
149.					Buy (add'l)	06/03/19	J		
150.					Buy (add'l)	07/01/19	J		
151.					Buy (add'l)	07/17/19	J		
152.					Buy (add'l)	08/05/19	K		
153.					Buy (add'l)	12/02/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 13 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. iShares 7-10 Yr Treasury Bond ETF (IEF)	A	Dividend			Sold	06/20/19	J	A	
155. iShares Barclay 1-3 Yr TSY Bd (SHY)	A	Dividend			Sold	06/03/19	J	A	
156. iShares Core Dividend Growth (DGRO)	C	Dividend	M	T	Buy (add'l)	01/07/19	J		
157.					Buy (add'l)	01/16/19	J		
158.					Buy (add'l)	03/04/19	J		
159.					Buy (add'l)	05/03/19	J		
160.					Buy (add'l)	05/28/19	J		
161.					Buy (add'l)	06/03/19	J		
162.					Buy (add'l)	07/02/19	J		
163.					Buy (add'l)	07/17/19	J		
164.					Buy (add'l)	08/05/19	J		
165.					Buy (add'l)	12/02/19	K		
166. iShares Edge MSCI Min Vol Emer (EEMV)	A	Dividend	K	T	Buy	05/28/19	J		
167.					Buy (add'l)	06/03/19	J		
168.					Buy (add'l)	07/01/19	J		
169.					Buy (add'l)	07/17/19	J		
170.					Buy (add'l)	10/07/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	11/04/19	K		
172. iShares Global Energy ETF (IXC)	A	Dividend			Sold	11/04/19	J		
173. AC Alternatives Inc I (ALNIX)	C	Dividend	L	T	Buy (add'l)	01/07/19	K		
174. Am Century Diversified Bond I (ACBPX)	A	Dividend			Sold	01/30/19	K	A	
175. Blackrock Multi-Asset Inc (BIICX)	A	Dividend			Buy (add'l)	01/30/19	K		
176.					Sold	02/12/19	K	A	
177. BNY Mellon GLB EQU INC (DQEIX) (formerly Dreyfus Global)	C	Dividend	M	T	Buy (add'l)	01/07/19	J		
178.					Buy (add'l)	02/05/19	J		
179.					Buy (add'l)	03/04/19	J		
180.					Buy (add'l)	05/03/19	J		
181.					Buy (add'l)	08/05/19	J		
182.					Buy (add'l)	11/04/19	K		
183. Chiron Capital Alloc Inst (CCAPX)	A	Dividend			Sold	02/05/19	K	A	
184.					Buy	05/03/19	L		
185.					Sold	11/04/19	L	A	
186. Destra Flaherty & Crumrine Preferred and Income Fund Class I (DPIIX)		None			Sold	01/09/19	K		
187. Federated Total Return BD Inst (FTRBX)	C	Dividend	M	T	Buy	01/30/19	K		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 15 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	02/05/19	J		
189.					Buy (add'l)	03/04/19	K		
190.					Buy (add'l)	05/03/19	K		
191.					Buy (add'l)	06/03/19	J		
192.					Buy (add'l)	07/01/19	K		
193. First Eagle Global I (SGIIX)		None			Buy	02/05/19	K		
194.					Buy (add'l)	03/04/19	K		
195.					Sold	05/03/19	L	B	
196. Goldman Sachs US Eq Dv Prem I (GSPKX)	A	Dividend	L	T	Buy (add'l)	01/07/19	J		
197.					Buy (add'l)	02/05/19	J		
198.					Buy (add'l)	03/04/19	J		
199.					Buy (add'l)	04/01/19	J		
200. Lord Abbett Intl Opportunity F (LINFx)		None			Buy (add'l)	01/07/19	J		
201.					Sold	03/04/19	K	A	
202. Mai Managed Volatility Instl (MAIPX)	B	Dividend	L	T	Buy (add'l)	01/07/19	J		
203.					Buy (add'l)	02/05/19	J		
204. MFS Diversified Income I (DIFIX)		None	M	T	Buy	12/10/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 16 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Nuveen Real Asset Income (NRIIX)	D	Dividend			Buy (add'l)	01/07/19	J		
206.					Buy (add'l)	02/05/19	J		
207.					Buy (add'l)	02/12/19	K		
208.					Sold (part)	03/04/19	K	A	
209.					Sold (part)	06/20/19	J	A	
210.					Sold	12/10/19	M	D	
211. Pimco Income I2 (PONPX)	A	Dividend	M	T	Buy (add'l)	03/04/19	K		
212. Pimco Low Duration Inc I2 (PFTPX)	A	Dividend			Sold	03/04/19	K		
213. Trust Account #3 (H)									
214. Morgan Stanley Bank NA (cash)	A	Interest	K	T					
215. Exxon Mobile Corp (XOM)	A	Dividend	J	T					
216. Ill Tool Works Inc (ITW)	A	Dividend	K	T					
217. Johnson & Johnson (JNJ)	A	Dividend	J	T					
218. McDonalds Corp (MCD)	A	Dividend	K	T					
219. Procter & Gamble (PG)	A	Dividend	K	T					
220. United Technologies Corp (UTX)	A	Dividend	J	T					
221. iShares IBonds Sep 2019 Muni (IBMH)	A	Dividend			Redeemed	09/05/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. iShares IBonds Sep 2020 Muni (IBMI)	A	Dividend	K	T					
223. iShares MSCI EAFE ETF (EFA)	B	Dividend	K	T					
224. The Technology Sel Sec Spdr Fd (XLK)	A	Dividend	K	T					
225. Am. Century Eqi Inc. Int. (ACIIX)	D	Dividend	M	T					
226. Am New Perspective F2 (ANWFX)	C	Dividend	L	T					
227. Invesco Opp Stlpth MLP Select 40 Y (MLPTX) (formerly OPI Steelpath)	B	Dividend			Sold	11/11/19	J		
228. Invesco Opp Cap Income Y (OCIXY) (formerly Oppenheimer Cap Income)	B	Dividend	L	T					
229. Neuberger Berman Lg SH Inst (NLSIX)	B	Dividend	L	T					
230. Nuveen All-American Muni Bd I (FAARX)	D	Dividend	M	T	Buy (add'l)	11/11/19	J		
231. Nuveen Global Infrastructure (FGIYX)	C	Dividend	K	T					
232. Nuveen HI YLD Muni BD I (NHMRX)	D	Dividend	M	T					
233. Nuveen Real Estate Sec FD (FARCK)	D	Dividend	L	T					
234. Nuveen Sh Dur High Yield Muni Bond (NVHIX)	C	Dividend	M	T					
235. T Rowe Price Growth Stock Adv (PRGFX)	B	Dividend	M	T					
236. T Rowe Price MidCap Gr Adv (RPMGX)	C	Dividend	L	T					
237. T Rowe Price Mid Cap (TRMCX)	C	Dividend	L	T					
238. Vanguard 500 Indx Admiral (VFIAX)	C	Dividend	M	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. Trust Account #4 (H)									
240. WILMINGTON TRUST BANK DEPOSIT SWEEP (BKSWP) (cash) (X)	B	Interest	K	T					
241. AT&T INC (T) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
242. COMCAST CORP NEW A (CMCSA) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
243. OMNICOM GROUP INC COM (OMC) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
244. WALT DISNEY CO (DIS) (X)	A	Dividend	J	T					
245. EXPEDIA GROUP, INC (EXPE) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
246. EXTENDED STAY AMERICA INC (STAY) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
247. LOWES COMPANIES INC (LOW) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
248. TJX COMPANIES COM (TJX) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
249. COSTCO WHOLESALE CORP COM (COST) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
250. ESTEE LAUDER COMPANIES INC (EL) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
251. PEPSICO INC COM (PEP) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
252. PHILIP MORRIS INTL INC (PM) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
253. PROCTER & GAMBLE CO COM (PG) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
254. CHEVRON CORP (CVX) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
255. EOG RESOURCES INC COM (EOG) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 19 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. EXXON MOBIL CORP (XOM) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
257. VALERO ENERGY CORP COM (VLO) (X)	A	Dividend	J	T					
258. BLACKROCK INC (BLK) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
259. CITIGROUP INC (C) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
260. CME GROUP INC (CME) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
261.					Sold (part)	11/11/19	J	B	
262. JPMORGAN CHASE & CO (JPM) (X)	A	Dividend	K	T	Sold (part)	01/24/19	J		
263.					Sold (part)	05/16/19	J	A	
264. METLIFE INC (MET) (X)	A	Dividend	J	T					
265. MORGAN STANLEY GROUP (MS)		None	J	T	Buy	11/11/19	J		
266. U S BANCORP DEL COM NEW (USB) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
267. AMGEN INC COM (AMGN) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
268. BECTON DICKINSON & CO COM (BDX) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
269. DANAHER CORP COM (DHR) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
270. GILEAD SCIENCES INC COM (GILD) (X)	A	Dividend	J	T					
271. JOHNSON & JOHNSON (JNJ) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
272. MERCK & CO INC (MRK) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 20 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. PFIZER INC (PFE) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
274. UNITEDHEALTH GROUP INC (UNH) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
275. ZOETIS INC (ZTS) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
276.					Sold (part)	11/11/19	J	C	
277. BOEING CO COM (BA)	A	Dividend	J	T	Buy	01/24/19	J		
278.					Buy (add'l)	03/26/19	J		
279.					Buy (add'l)	11/11/19	J		
280. DELTA AIR LINES INC (DAL) (X)	A	Dividend	K	T	Sold (part)	03/26/19	J	A	
281. FEDEX CORP COM (FDX) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
282. LOCKHEED MARTIN CORPORATION COM (LMT) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
283. UNION PACIFIC CORP COM (UNP) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
284. APPLE INC (AAPL) (X)	A	Dividend	K	T	Sold (part)	01/24/19	J		
285.					Sold (part)	05/16/19	J	A	
286.					Sold (part)	12/17/19	J	B	
287. BROADCOM INC (AVGO) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
288. CISCO SYSTEMS INC (CSCO) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
289. MASTERCARD INC CL A (MA) (X)	A	Dividend	K	T	Sold (part)	01/24/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290.					Sold (part)	05/16/19	J	A	
291. MAXIM INTEGRATED PRODS INC COM (MXIM) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
292. MICROSOFT CORP (MSFT) (X)	A	Dividend	K	T	Sold (part)	01/24/19	J		
293.					Sold (part)	05/16/19	J	A	
294.					Sold (part)	12/17/19	J	B	
295. ORACLE CORPORATION COM (ORCL) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
296. QUALCOMM INC COM (QCOM) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
297. AIR PRODUCTS & CHEMICALS INC (APD) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
298. SHERWIN WILLIAMS CO COM (SHW) (X)	A	Dividend	J	T					
299. AMERICAN TOWER CORP CL A (AMT) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
300. AMERICAN ELECTRIC POWER CO INC (AEP) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
301. CMS ENERGY CORP COM (CMS) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
302. ISHARES EDGE MSCI USA QLTY FACTOR ETF (QUAL)	B	Dividend	L	T	Buy	01/24/19	K		
303.					Buy (add'l)	02/06/19	J		
304.					Sold (part)	05/16/19	J	A	
305.					Sold (part)	12/17/19	J	A	
306. ISHARES RUSSELL 1000 GROWTH ETF (IWF) (X)	B	Dividend	L	T	Sold (part)	01/24/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Sold (part)	05/03/19	L	D	
308.					Sold (part)	05/15/19	J		
309.					Sold (part)	05/16/19	J	A	
310.					Sold (part)	12/17/19	J	A	
311. T ROWE PRICE LRG CAP GR I (TRLGX)	C	Dividend	L	T	Buy	05/03/19	L		
312.					Sold (part)	05/16/19	J		
313.					Sold (part)	12/17/19	J	A	
314. ISHARES S&P SM-CAP 600 GROWTH ETF (IUT) (X)	A	Dividend	L	T	Sold (part)	01/24/19	J		
315. MERIDIAN SM-CAP GROWTH FD CL I (MSGRX) (X)	C	Dividend	L	T	Buy (add'l)	01/24/19	J		
316.					Sold (part)	05/16/19	J		
317. NUVEEN SMALL CAP VALUE FD-Y (FSCCX) (X)	A	Dividend	L	T	Buy (add'l)	01/22/19	L		
318.					Buy (add'l)	01/24/19	J		
319. ACCENTURE PLC- CL A (ACN) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
320. INGERSOLL-RAND PUBLIC LTD CO (IR) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J	A	
321. MEDTRONIC PLC (MDT)	A	Dividend	J	T	Buy	01/24/19	J		
322. SUNCOR ENERGY INC (SU) (X)	A	Dividend	J	T	Sold (part)	05/16/19	J		
323. WILLIS TOWERS WATSON PLC (WLTW) (X)	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
324. ISHARES CORE MSCI EAFE ETF (IEFA) (X)	C	Dividend	M	T	Buy (add'l)	01/22/19	M		
325.					Sold (part)	01/24/19	J		
326.					Sold (part)	02/06/19	K		
327.					Buy (add'l)	05/03/19	K		
328.					Sold (part)	05/15/19	K		
329.					Sold (part)	05/16/19	J		
330.					Buy (add'l)	11/05/19	K		
331.					Buy (add'l)	12/17/19	K		
332. WCM FOCUSED INTL GROWTH FD (WCMIX) (X)	A	Dividend	L	T	Sold (part)	05/16/19	J	B	
333.					Sold (part)	12/17/19	J	B	
334. ISHARES CORE MSCI EMERGING (IEMG) (X)	B	Dividend	K	T	Sold (part)	05/15/19	J	B	
335.					Sold (part)	05/16/19	J	A	
336. WILMINGTON INTERNATIONAL FUND (WINIX) (X)	C	Dividend	M	T	Buy (add'l)	01/22/19	M		
337.					Buy (add'l)	01/24/19	K		
338.					Sold (part)	05/16/19	J	A	
339.					Sold (part)	12/17/19	J	A	
340. FEDERATED TOTAL RETURN BOND CL I (FTRBX) (X)	B	Dividend			Sold	02/12/19	N		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 24 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. FIDELITY FOCUSED HIGH INCOME FUND (FHIFX) (X)	C	Dividend	L	T					
342. MUNICIPAL BOND COMMON FUND (625993AB6)	D	Dividend	O	T	Buy	02/15/19	N		
343.					Buy (add'l)	05/31/19	M		
344.					Buy (add'l)	05/31/19	M		
345. NUVEEN SHORT DUR H/Y MUNI CL I (NVHIX) (X)	B	Dividend	K	T					
346. ISHARES TIPS BOND ETF (TIP) (X)	A	Dividend	K	T	Sold (part)	05/16/19	J	A	
347. ISHARES COHEN & STEERS REIT ETF (ICF) (X)	A	Dividend	K	T	Sold (part)	01/24/19	J		
348.					Sold (part)	05/16/19	J	A	
349. SPDR DJ INTL REAL ESTATE ETF (RWX) (X)	D	Dividend	L	T					
350. VICTORY INTEGRITY SM-CAP VAL CL Y (VSVIX) (X)		None			Sold	01/22/19	K		
351. ISHARES CORE INTL STOCK ETF (IXUS) (X)		None			Sold	01/22/19	N		
352. CUMMINS INC COM (CMI) (X)		None			Sold	01/24/19	J		
353. STRYKER CORP (SYK) (X)	A	Dividend			Sold	01/24/19	J		
354. Trust Account #5 (H)									
355. Maximum Appreciation Fund (254999865) (X)	D	Dividend	N	T	Sold (part)	02/28/19	J	A	
356.					Sold (part)	05/31/19	J	A	
357.					Sold (part)	12/31/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. Municipal Bond Common Fund (625993AB6) (X)	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 26 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, lines 2 and 3: The holdings of these real estate companies are operational in nature; other investments of the companies, if any, are beyond the scope of the filer's knowledge.

Part VII, lines 2 and 3: Filer's interest is 1/6.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 27 of 27

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/14/2020

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Michael R. Barrett**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544